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ABSTRACT

This report summarizes the detailed case study of the organization and staffing of the research libraries of Columbia University. The study examines present patterns and recommends how the resources of 35 operating libraries ought better be arranged and deployed to fulfill their important roles. As a case study, the conclusions and recommendations are specifically geared to Columbia's unique requirements; certainly, no other university would completely profit from the wholesale adoption of the plan proposed for Columbia. The study may, however, be of general interest to those concerned with possible approaches to organizing for a research library's multifaceted roles in a major urban university. In particular, it is believed that the recommended plan will better accommodate the widening range of user needs and increasing sophistication of the faculty and student groups served. It should strengthen processes of collection development by bringing acquisition decision making closer to academic planning as well as help users gain more effective access to the constantly increasing volume and changing form of information resources available. The study also discusses the need to develop staff capabilities in library areas which can benefit from application of specialized talents and new technology. (Author)

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ORGANIZATION AND STAFFING OF THE LIBRARIES OF COLUMBIA UNIVERSITY:

A summary of the case study sponsored by the Association of Research Libraries in cooperation with the American Council on Education under a grant from the Council on Library Resources.

Booz, Allen & Hamilton, Inc.

(Principal investigator and author of the report)

ASSOCIATION OF RESEARCH LIBRARIES
Washington, D.C.
1972

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PREFACE

The following statement summarizes the case study of the organization and staffing of the Columbia University Libraries which was sponsored by the Association of Research Libraries in cooperation with the American Council on Education. The study was carried out during 1970-71 under a grant from the Council on Library Resources. The principal investigator for the research was Booz, Allen, and Hamilton, Inc. The study team included several officers of that firm and the director of the University Library Management Studies Office of the ARL.

Throughout the course of the project advice and counsel were provided the study team by a senior staff advisory committee at Columbia University Libraries and by a Joint Advisory Committee made up of representatives from the Association of Research Libraries, the American Council on Education, and the Council on Library Resources. The work draws heavily on the earlier ARL/ACE study which produced the report, *Problems in University Library Management*.

The full report on the case study at Columbia is being readied for publication as soon as possible, probably within six months.

Stephen A. McCarthy
Executive Director
Association of Research Libraries

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SUMMARY OF THE STUDY OF ORGANIZATION AND STAFFING OF THE LIBRARIES OF COLUMBIA UNIVERSITY

This report summarizes the detailed case study of the organization and staffing of the research libraries of Columbia University. The study examines present patterns and recommends how the resources of 35 operating libraries ought better be arranged and deployed to fulfill their important roles. As a case study, the conclusions and recommendations are specifically geared to Columbia's unique requirements; certainly, no other university would completely profit from the wholesale adoption of the plan proposed for Columbia. The study may, however, be of general interest to those concerned with possible approaches to organizing for a research library's multifaceted roles in a major urban university. In particular, it is believed that the recommended plan will better accommodate the widening range of user needs and increasing sophistication of the faculty and student groups served. It should strengthen processes of collection development by bringing acquisition decision making closer to academic planning as well as help users gain more effective access to the constantly increasing volume and changing form of information resources available. The study also discusses the need to develop staff capabilities in library areas which can benefit from application of specialized talents and new technology.

BACKGROUND

In 1969-1970, the Association of Research Libraries, in cooperation with the American Council on Education and the Council on Library Resources, completed a preliminary investigation of problems in university library management. In considering future educational requirements and major trends and their implications for libraries, the investigation found that organization arrangements in research libraries "are too informal, poorly matched to current and emerging requirements and designed without benefit of modern management approaches" and that these institutions often have "inadequate staffing and provision for staff development."

Following completion of the preliminary investigation, the Association of Research Libraries, again in cooperation with the American Council on Education and the Council on Library Resources, decided that first attention should be given to strengthening the organization and staffing of research libraries. They agreed that, as an initial effort, a case study should be made at a leading university library. Columbia University was selected as the case institution.

In many respects, Columbia University is an exemplary institution for a case study. The leadership of the university, the libraries, and the faculty is dedicated to constructive change and improvement. It can be anticipated that the results of this study will achieve real benefits for the university in the years ahead.

It was recognized, however, that the primary goal of the case study was to help Columbia University prepare for its distinctive future rather than to produce a prototypical guide for all university libraries. Thus, while the report notes some major conclusions of potential significance to many universities and research libraries, it concentrates on the Columbia situation. A separate report to the Association of Research Libraries identifies further study efforts that should be undertaken by its recently established Office of University Library Management Studies from which broader generalizations can be drawn. The hope remains, however, that other institutions will find the case study interesting and perhaps of assistance in matching organization and staffing plans to their own objectives and needs.

THE LIBRARIES OF COLUMBIA UNIVERSITY

Columbia is a large, complex, private, urban coeducational university of long-standing academic distinction. More than two-thirds of its 16,000 students are enrolled in graduate and professional programs so that Columbia's 4,100-member faculty tends to be research oriented and concerned largely with advanced instruction. This heavy graduate emphasis, coupled with the undergraduate program, makes considerable and differing demands on the libraries for information resources and support.

Along with other public and private universities, Columbia faces a financial crisis which has major implications for the libraries and other components of the university. Significant budget increases are unlikely for the foreseeable future, despite rapidly rising costs and continuing requests for new services.

The libraries of Columbia are vital to the ongoing research and instruction programs of the university. In addition, the libraries have objectives and responsibilities transcending those of Columbia because of the strength and, in some areas, the uniqueness of their collections. The collections exceed four million cataloged volumes, making Columbia one of the largest research libraries in the country. Columbia's libraries are well known for their depth in specific subject fields. As in other university libraries, Columbia's acquisition rate has increased rapidly in recent years, from fewer than 80,000 acquisitions annually prior to 1960 to over 130,000 volumes currently.

University support of the libraries has been unusually extensive, partly because all libraries have for many years been unified. By university statute, the Director of Libraries is the chief executive officer of all libraries. Currently, the libraries responsible to the Director number 35 operating units organized in eight divisions. With the exception of the Medical Sciences Division and the library of the Lamont-Doherty Geological Observatory, the units are located reasonably close together on the university's Morningside campus on the upper West Side of Manhattan.

Columbia's library staff has increased more than 80% over the past 15 years, from 311 in 1955 to more than 560 in 1970. The most rapid growth has occurred among clerical and supporting staff.

Columbia's library expenditures increased more than 230% in the past decade. In recent years, salaries and wages have accounted for most of the increases, in part reflecting unionization of the university's clerical staff. The current financial squeeze, however, has substantially changed this pattern. The budget of Columbia's libraries increased only 5% over 1970-1971. Such an increase, with costs rising more rapidly, means a reduction in actual resources available for the coming year.

The ability of Columbia University's libraries to meet the challenges and demands of the future will depend largely on the quality and effectiveness of their human resources and the way in which they are organized to work together.

RECOMMENDED PLAN OF ORGANIZATION

The study proposes that a revised plan of organization be adopted for Columbia's libraries. The plan has been designed to prepare the libraries to develop and perform effectively in the decade ahead. It

calls for many changes based on both (1) trends in higher education and anticipated developments at Columbia and (2) organization and management principles applicable in the research library field.

Continued Centralization

The libraries of Columbia University should continue to be centralized. Nearly every consideration argues for continuation of the present overall approach to organization. Alternative patterns of organization were analyzed, but the centralized plan has been so effective at Columbia and offers so many potential benefits that it should be studied for use by other institutions.

Vice President and University Librarian

The libraries are vital to the ongoing academic life of Columbia and should participate in university planning and in policy and budget formulation. The recommended plan proposes that the entire library system be headed by a single executive officer with the title of Vice President and University Librarian. The incumbent of this post should be both a professional leader for the university's librarians and library staff as well as a university executive exercising authority delegated from the Trustees through the President. The Vice President and University Librarian should be regarded as a member of the university's top management team. The President should include the Vice President and University Librarian as a member of his policy-making cabinet and recognize him as a member of the top executive team. The Vice President and University Librarian should continue to be responsible to the Executive Vice President for Academic Affairs and Provost from whom he should take continuing direction. He should provide advice and counsel to the President and the Executive Vice President concerning both library and university matters, particularly those academic program changes having immediate and long-term implications for library resources and thus a substantial bearing on university capital and operating costs.

Since all that happens--or fails to happen--in the university libraries is ultimately the responsibility of the Vice President and University Librarian, his is a broad and demanding role. In a general

sense, he is responsible for participating in university planning and management as a senior executive of Columbia University. He is also responsible for directing library planning, formulating and enforcing library policies and budgets, and providing professional leadership and executive direction to the staff of the libraries. To meet these challenges, the Vice President and University Librarian must possess the management acumen and judgment of a successful chief executive in a major corporation, in addition to professional leadership abilities in the library field. To be effective, he needs the guidance and support of the President and the Executive Vice President for Academic Affairs and Provost. In carrying out his responsibilities, the Vice President and University Librarian needs the consistent cooperation and support of the library staff as well as of the faculty and other university-wide administrators.

Committees and Advisory Groups

Formally organized library committees and advisory groups will be essential to conduct the ongoing work of the libraries and to provide a strong, effective approach to management and professional activities. They should also provide library staff and faculty members with opportunities to participate in and contribute to the work of the libraries. Accordingly, it is recommended that:

- The present University Senate Library Committee be continued without change in its functions or composition

- The Representative Committee of Librarians be continued but that it not be assigned specialized tasks which might detract from its basic purpose of ongoing liaison with staff

- A major Professional Advisory Committee be established to be concerned comprehensively with the work of the libraries at Columbia

- A Staff Development Committee be established to advise on and participate in the staff development activities

- Program advisory groups and technical advisory groups be appointed by unit heads to assist them in their work

Administrative Organization

The recommended overall plan of organization for Columbia's libraries is set forth in Exhibit 1, following this page. Detailed charts for sub-units of the libraries are presented in Chapter II of the complete study document.

Internally, Columbia's libraries should be organized in six major units responsible for overall development and operations:

Office of the Vice President and University Librarian	The executive office of the library system
Planning Office Personnel Office	Two system-wide staff offices that support and are intimately related to the Office of the Vice President and University Librarian
Services Group Support Group Resources Group	Three large mutually interdependent units with major operating responsibilities

In addition, certain distinctive collections, largely of rare or primary source materials, and the Law Library Center and Medical Science Information Center should report directly to the Vice President and University Librarian for historic and other reasons, as discussed below.

The recommended plan departs significantly from the present plan in use at Columbia and at many other university libraries. It builds on some strengths of the traditional division of activities between (1) reader or user services and (2) technical services. Essentially, all activities are redistributed, however, and expanded in concept and enhanced in emphasis.

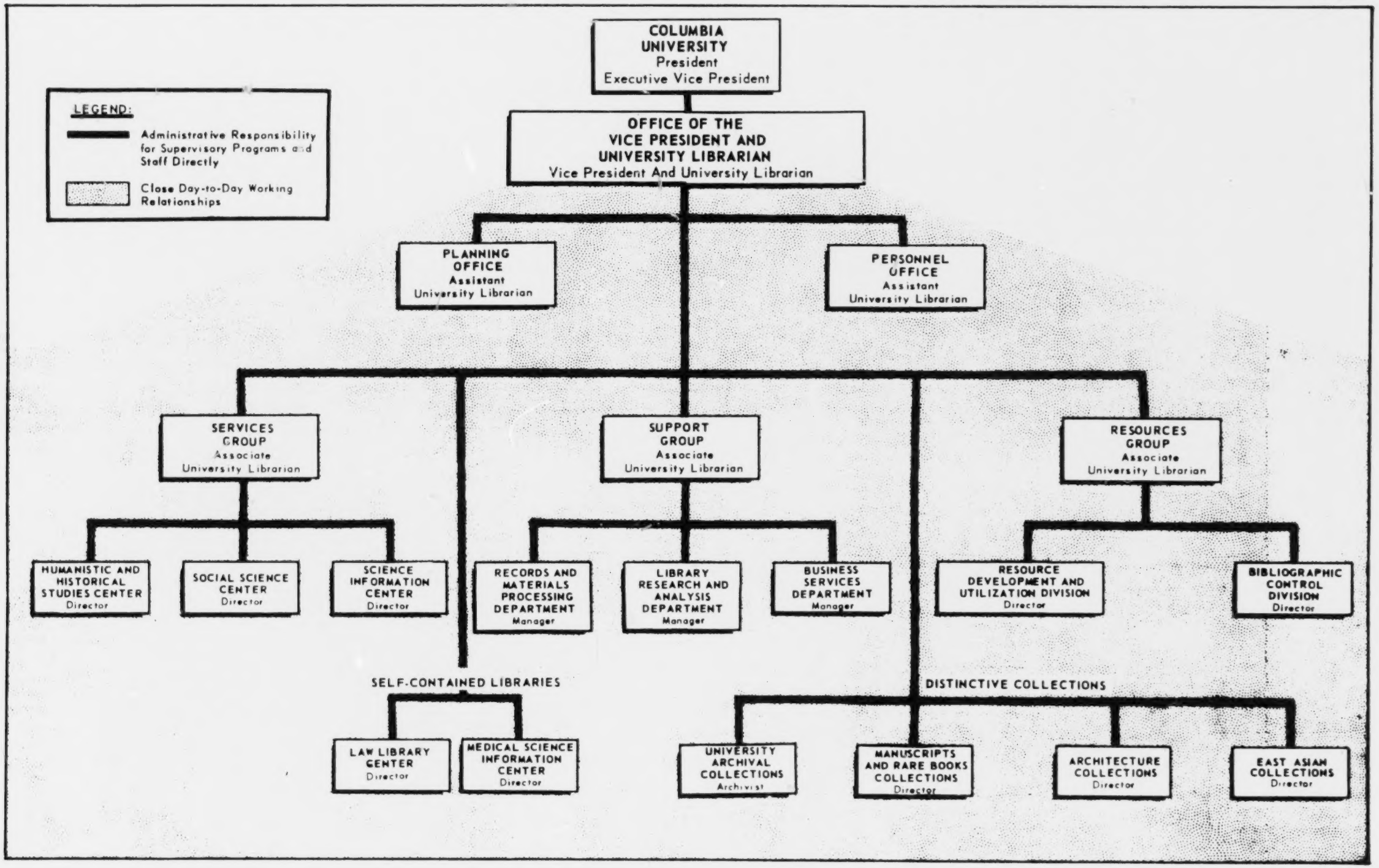
In particular, the recommended plan calls for more formal delineation of and attention to three major areas of library activity:

- First-line information, guidance and access services to users (i.e., the services function)
- Development and utilization of collection resources and the bibliographic reference and instructional capabilities of staff (i.e., the resources function)
- Provision of processing, business, and other support services (i.e., the support function)

EXHIBIT I

COLUMBIA UNIVERSITY

RECOMMENDED OVERALL PLAN OF ORGANIZATION



Under the present plan of organization, the effective conduct of these discrete activities is impeded because professional staff efforts are spread too thinly among a number of areas. As a result, the user does not have access to the particular assistance he needs and the talent of professional staff members is not meaningfully developed. The proposed plan is designed specifically to overcome these weaknesses and offers substantial opportunity for improved, more effective services to users.

Under the recommended plan, the three major operating units would include the:

Resources Group will comprise primarily professional staff, will work primarily with faculty and researchers, and will...

- Plan and carry out programs and services of:
  - Collection development and preservation
  - In-depth reference and research assistance
  - Classroom instruction assistance and participation
  - Original cataloging

Services Group will include a few professional staff members and many technical and support staff members, will serve library users on a day-to-day basis, and will...

- Operate service centers (bringing together existing small service units) that will:
  - Serve library users' immediate needs
  - Provide first-line information and referral services
  - Provide self-service access to library collections
  - Provide ready reference assistance

Support Group will include a few professional staff members and many technical and support staff members, and will...

- Provide support services to the Services Group and the Resources Group, including:
  - Acquisition of library materials
  - Production of bibliographic records
  - Processing of library materials
  - Photographic services
  - Systems analysis
  - Computer services
  - Facilities management and security
  - Fiscal control

More detailed descriptions of these major units are presented in the following sections.

The Services Group

In the present plan of organization, highly skilled professionals are assigned to many positions involving direct contact with library users, regardless of the sophistication of the encounter. In evaluating the present organization, it was found valuable to categorize library programs presently offered as a basis for organizing and staffing these services according to skill requirements and user needs. Three categories of reader services were defined:

- Primary, first-line services to help library users understand and utilize the immediate facility and available information resources

- Intermediate, second-line services to interpret library resources in terms of specific, individual information requests and to promote the act of reading

- Advanced, third-line services to relate the library information resources to serve the advanced scholarly and research needs of the academic community

It was apparent that many of these activities could be carried out by well-trained, knowledgeable specialist staff members able to orient and direct users to the appropriate services needed. The librarian's role would be to design, plan, oversee, and evaluate the service mechanisms needed and to develop competent specialist and other staff resources to serve users directly on routine matters.

Accordingly, the proposed organization of the Columbia libraries provides for creation of a Services Group, headed by an Associate University Librarian. The group should be responsible for providing day-to-day library services to the academic community, including:

- Primary, first-line services to help library users understand and utilize the immediate facility and available information resources

  - Explanation of library rules, regulations, and procedures

  - Directory assistance in identifying the location of required facilities, services, or materials

  - Reader assistance in general organization and use of catalog

- Circulation of library materials
- Borrowing of required materials not in present collection
- Photocopy services
- Paging of requested materials
- Support activities of reshelving, shifting, cleaning, repairing, and maintaining collections
- Operation of self-service units such as reading and study facilities
- Collection security

. Intermediate, second-line services to interpret resources in terms of specific, individual information requirements and to promote the act of reading

- Identification of required materials through use of bibliographies, indexes, abstracts, or other bibliographic tools
- Determination of materials available locally through the use of holding lists, catalogs, or other tools
- Interpretation of library files and records
- Location of required materials not available locally
- Instruction in the use of library tools, resources, and services
- Assistance in determining answers to requests for facts, data, addresses, or other information problems of a general nature

The Services Group should comprise three major organizational units or subject centers: a Humanistic and Historical Studies Center, a Social Science Center, and a Science Information Center. Each of the subject centers should be organized internally to include:

- An Access Services Department to provide direct assistance in locating required library materials locally or elsewhere and to administer large-scale circulation services and library facilities that expedite ready access to and use of the collections.

- An Instructional Materials and Services Department to provide assistance to undergraduates, graduates, and users new to the library system in understanding and effectively using library resources and services.

- Allied libraries to provide geographically decentralized services. These libraries should be strongly related by subject to the primary centers and should be organized to provide a full range of services with minimal staff, relying on the subject center for leadership and support. They should not duplicate the resources of the centers and, in most cases, will represent small special collections such as the Music Library or the Fine Arts Library.

The Associate University Librarian for Services should be responsible for the development and operations of all subject centers through appointed subject center directors.

Allied libraries represent a more complex situation. In the small units designated as allied libraries, the senior librarian must continue to perform multiple service and resource roles. He should report to his subject center director in areas of service and facility operation and to the appropriate department in the Resources Group in areas of collection development and cataloging.

The Resources Group

The Resources Group should bring together subject-oriented professional librarian skills and direct them toward the development, organization, preservation, and utilization of the information resources required by the academic community. Individuals in the group should be given the flexibility to perform without the burden of desk schedules and less complex information requests. In addition to meeting rigorous and

demanding resource requests within the library, this group should provide dynamic library services that go beyond the boundaries of the library and into the classroom, the professor's office, and the scholarly meeting.

The basic functions of the Resources Group should be to build library collections, to make available a wide array of subject and technical capabilities, and to draw upon external resources effectively. An integral part of this responsibility will be to provide advanced, third-line reader services to serve the sophisticated information needs of the academic community. These activities include:

- Advising and counseling faculty and students to capitalize on library resources and services in dealing with specific instructional and research problems, such as the strategy for a thesis

- Providing detailed, in-depth reference assistance by subject-competent specialists

- Relating library resources to instructional programs by working in planning projects, developing curricula, making presentations in classrooms, and making the library a teaching laboratory

- Developing relations with and among reader service units aimed at coordinating programs, collections, and services; monitoring the flow of user requests and the success with which they are handled; and sharing mutually useful information on professional and organizational topics

- Securing appropriate resources by identifying new materials needed in development of collections and monitoring the acquisition policies of all units within the system

- Establishing the organization and bibliographic control of library resources, including creation of original catalog records, bibliographic policies, authority rules, points of access, and thesauri

- Identifying materials that require preservation decisions in terms of binding, microfilming, special care, reprinting, or other maintenance activities

- Planning, developing, and operating current awareness activities such as annotated lists of new acquisitions or SDI programs

The Resources Group should be headed by an Associate University Librarian. He should possess the academic credentials and presence to perform as the primary liaison with the academic community and to provide intellectual and professional leadership to the resources staff.

Two major divisions should be established within the Resources Group to focus professional activities along the functional lines of (1) development and use of resources and (2) organization and bibliographic control of materials.

- The Resource Development and Utilization Division should have units corresponding to each of the three subject centers and should perform required collection development activities, backup reference support, and subject-oriented faculty and research liaison. In addition, the division should coordinate resource development capabilities in the Law Library Center, the Medical Science Information Center, and the distinctive collections.

- The Bibliographic Control Division should have units for the subject centers and the Law Library Center, the Medical Science Information Center, and the distinctive collections. This division should exercise administrative control over the cataloging activities in all areas of the library system. Cataloging responsibilities should include both monographs and serials.

In addition to the major divisions, the Associate University Librarian for Resources should have two staff assistant positions--one for coordinating instructional programs of the libraries in terms of working with committees, developing new programs, and operating a lecture schedule and the other for coordinating current awareness activities in terms of identifying unmet requirements, planning programs, and developing special operations such as use of census tapes.

It is recognized that the same staff members may have the subject or technical competence to function in both of the above divisions, performing cataloging, selection, preservation, and in-depth research and

reference activities. These staff members will need to maintain multiple reporting relationships, and their respective supervisors will need to negotiate the allocation of time among the different units and activities.

The Support Group

A Support Group should be established to provide essential business, analysis, and record production services for all of Columbia's libraries. This group brings together technical, highly specialized support skills into a tightly organized environment aimed at providing highly efficient services. Performance is emphasized, and non-librarian capabilities should be utilized extensively. The group's basic functions should be the:

- Acquisition of materials
- Production of bibliographic access records
- Preparation of library materials for use in service units
- Facilities management and security
- Fiscal control and financial reports
- Preservation services
- Photographic services
- Systems analysis and computer services

The Support Group, headed by an Associate University Librarian, should comprise three major departments:

- The Records and Materials Processing Department should be responsible for the acquisition and processing of library materials into the system, and for producing bibliographic records, including cataloging with available copy. The department should be organized in five units:

- The Bibliographic Searching Unit should perform all types of searching--acquisition, cataloging, foreign language--for all types of materials: monographs, serials, documents, and reports.

- The Catalog Maintenance Unit should receive and monitor all bibliographic records for consistency with Columbia catalog policy, and should file, edit, and maintain the catalogs and authority files.

- The Monographs Unit should be responsible for the complete cycle of monograph ordering, receiving, processing, preparation of records, and distribution of materials and records.

- The Serials Unit should order, receive, and record serials.

- The Documents Unit should order, receive, and distribute documents.

The Business Services Department should be responsible for the several auxiliary services and the technical preservation support required by the libraries. Four units are suggested:

- The Preservation, Binding, and Photographic Services Unit should provide technical support in the indicated areas.

- The Facilities and Supplies Unit should work closely with University Buildings and Grounds, and should order, maintain, and dispense required library supplies.

- The Data Control Unit should operate the automated system and provide programming support.

- The Financial Services Unit should maintain accounts and produce financial reports.

- The Library Research and Analysis Department should carry out projects and analyze problems defined by the Planning Office or other units and presented through the Office of the Vice President and University Librarian. The department should comprise two units:

  - The Library Analysis Unit should apply computer and automation technology to the library system.

  - The Operations Research Unit should apply specialized management expertise to library problems.

Distinctive Collections, Law Library Center, and Medical Science Information Center

The recommended plan of organization also provides for a few very unusual library units to be responsible directly to the Vice President and University Librarian. These units, due to historic factors or to collection strength or distinctiveness, need to be kept administratively separate from the Services and Resources Groups. Certain distinctive collections are of national significance, present unique preservation problems, and serve users with sophisticated needs. Thus, service and resource areas need to be integrated in these collections. Funding patterns also differ, since the distinctive collections depend more on non-university support.

The Law Library Center and the Medical Science Information Center should continue to report directly to the University librarian. Because of the largely technical and specialized nature and use of their collections, these libraries do not lend themselves to incorporation within the services and resources groups desirable for most of the system's existing libraries.

It should be stressed that in all respects, however, these libraries are integral components of the total library system. The significance of this special arrangement is in the nature of the relationship of these libraries with the resources and services group, not that these units should be less fully parts of the whole system.

The unique units defined in the Columbia context are:

- Law Library Center
- Medical Science Information Center
- University Archival Collections
- Manuscripts and Rare Books Collections
- Architecture Collections
- East Asian Collections

The Personnel Office

The human resources of the libraries are so important that the highest level of attention should be given to the personnel function. The Personnel Office, headed by an Assistant University Librarian, should operate as an integral part of the top management of Columbia's libraries, with responsibility to:

- Participate in university manpower planning
- Formulate manpower plans for the university libraries and submit them to the Vice President and University Librarian for approval
- Recommend and enforce personnel po'icies within the libraries
- Recommend compensation and other personnel plans for the libraries
- Recommend and implement staff development plans for the libraries' executive, librarian, specialist, and clerical staff
- Recommend and facilitate individual staff members' development plans
- Administer personnel activities
- Maintain relationships with the union

The Assistant University Librarian for Personnel should work directly with the Vice President and University Librarian.

The Planning Office

Comprehensive planning is a top management function to which the Vice President and University Librarian should give continuing personal attention and leadership. A Planning Office, headed by an Assistant University Librarian, should assist him in this. The responsibilities assigned to the Planning Office and the Assistant University Librarian for Planning should be to:

- Participate in university planning as the representative of the Vice President and University Librarian
- Coordinate planning for the university libraries by developing and maintaining basic data, preparing planning guides and schedules, counseling and assisting library unit heads engaged in planning, and integrating plans formulated by library units
- Formulate and control budgets by coordinating the preparation of budget requests, providing library plans and guidelines needed to prepare budget requests, integrating budget requests formulated by units, advising and assisting the Vice President and University Librarian in preparing and submitting budget requests for the libraries, and reviewing budget progress
- Coordinate the formulation of policies and maintenance of policy manuals
- Participate in regional and national planning for library coordination and cooperation
- Formulate reports, and applications for grants and contracts, for government and other funding agencies.

The Top Management Team

The Vice President and University Librarian should provide executive direction and professional leadership to Columbia's libraries. The heads of the five major units should work closely with him on a "professional partnership" basis as the top management team of the

library system. They should share the same library philosophies and objectives, and confidence and communication among them should be extremely high.

RECOMMENDED PLAN OF STAFFING

The ability of Columbia's libraries to meet future requirements will be determined by the quality, utilization, and productivity of their staff and the manner in which the staff is organized. It will depend in part on designing positions that capitalize fully on individual capabilities, training, and talents, and in part on giving staff clear and meaningful job assignments in the organization. Assignments should be geared to performing the services, resources, and support functions of the libraries well and designed to foster career and personal development opportunities throughout the system.

The recommended plan of staffing is designed to prepare Columbia's libraries to meet these challenges.

Requirements of the Future

Staffing should be geared to meet future requirements. Research libraries will need to develop sophisticated information and staff capabilities. The academic community will come to depend more upon the subject-competent librarian to interpret and provide efficient access to the information it needs and for help in individualized study and research. The array of services should also encompass the needs of the undergraduate and initiate user as well as of the advanced research scholar.

Present staffing plans, however, do not adequately equip the libraries to sustain high levels of professional performance and growth while accommodating to the sheer volume of day-to-day operating demands. Many so-called professional positions mix routine clerical duties with professional responsibilities so that the librarian's role has become blurred. As a result, the individual staff member's ability to focus on professional matters important to the user, and for his own own development, has been impaired.

Principles of Staffing

Present staffing patterns are inadequate in focusing professional effort, developing specialized capabilities, and providing meaningful career opportunities. For example, advancement tends to follow administrative lines so that those interested in careers in a subject area or professional field have few opportunities for career progression. The recommended staffing plan is designed to enable the Columbia libraries to overcome these and other limitations.

Matching Positions to Work Requirements

Columbia's library staff positions should be structured according to the work to be done. The proposed plan calls for the libraries to be organized into Services, Resources, and Support Groups, with Personnel and Planning Offices. The work to be performed by these units requires that new and different positions be established. Accordingly, the proposed plan calls for positions to be classified in four major categories--executive, librarian, specialist, and clerical. Each of these categories should include the specific positions that will be needed to meet specific work requirements, as indicated in Exhibit 2, following this page.

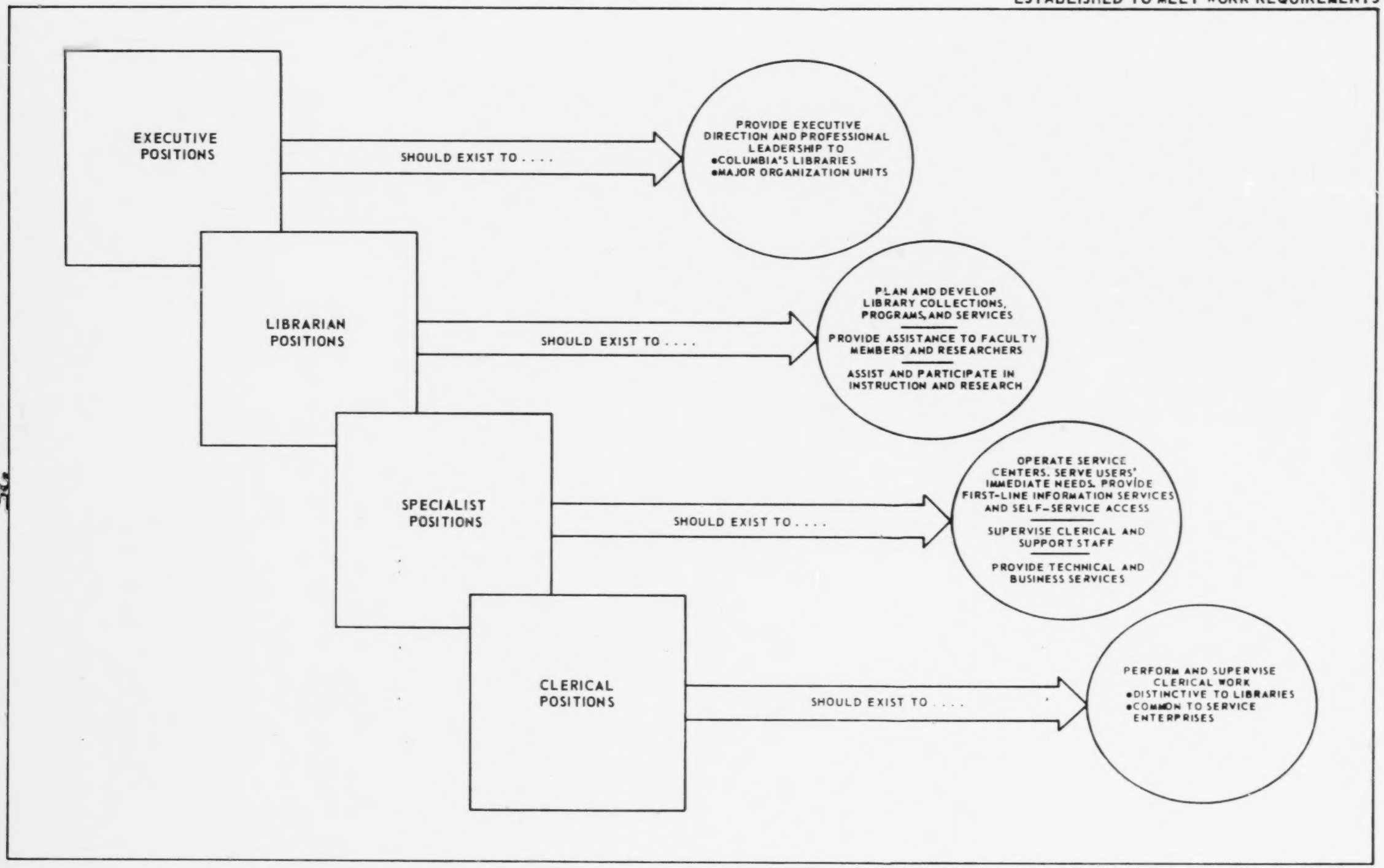
The recommended plan classifies positions according to their importance within the library system and recognizes the need for a hierarchy of skills, subject and technical competence, responsibility, and authority. The plan has been designed to yield several important benefits, specifically, to:

- Establish positions that involve exclusively or primarily professional pursuits
- Provide parallel opportunities for professional advancement to those interested in the areas of services, resources, and management, respectively
- Heighten staff performance by redefining the scope of professional and other positions to facilitate greater sophistication and depth of focus in specialized areas
- Enhance job fulfillment for all staff while at the same time improving library capabilities

EXHIBIT II

COLUMBIA UNIVERSITY

CATEGORIES OF POSITIONS THAT SHOULD BE ESTABLISHED TO MEET WORK REQUIREMENTS


EXECUTIVE POSITIONS
SHOULD EXIST TO . . . .
PROVIDE EXECUTIVE DIRECTION AND PROFESSIONAL LEADERSHIP TO
•COLUMBIA'S LIBRARIES
•MAJOR ORGANIZATION UNITS
LIBRARIAN POSITIONS
SHOULD EXIST TO . . . .
PLAN AND DEVELOP LIBRARY COLLECTIONS, PROGRAMS, AND SERVICES
PROVIDE ASSISTANCE TO FACULTY MEMBERS AND RESEARCHERS
ASSIST AND PARTICIPATE IN INSTRUCTION AND RESEARCH
SPECIALIST POSITIONS
SHOULD EXIST TO . . . .
OPERATE SERVICE CENTERS, SERVE USERS' IMMEDIATE NEEDS, PROVIDE FIRST-LINE INFORMATION SERVICES AND SELF-SERVICE ACCESS
SUPERVISE CLERICAL AND SUPPORT STAFF
PROVIDE TECHNICAL AND BUSINESS SERVICES
CLERICAL POSITIONS
SHOULD EXIST TO . . . .
PERFORM AND SUPERVISE CLERICAL WORK
•DISTINCTIVE TO LIBRARIES
•COMMON TO SERVICE ENTERPRISES

Implementation of the recommended plan will require substantial reorientation of staff to new roles, responsibilities, and reporting relationships. It should not, however, require a significant net addition of people, although filling newly defined positions may result in some personnel shifts and turnover.

Executive Positions

Executive positions should encompass the top-management professional positions with primary professional and leadership responsibility for guiding the libraries toward achievement of objectives. For compensation purposes, five position grades should be established within the group of executive positions at Columbia's libraries. These grades should include the following recommended positions:

- Vice President and University Librarian
- Associate University Librarian for Resources
- Associate University Librarian for Services
- Associate University Librarian for Support
- Directors of the Law Library Center and the Medical Science Information Center
- Assistant University Librarian for Personnel
- Assistant University Librarian for Planning
- Directors of Distinctive Collections (except the Archivist)
- Directors of Subject Centers
- Director of Resource Development and Utilization Division
- Director of Bibliographic Control Division
- Manager of Records and Materials Processing Department

- Manager of Library Research and Analysis Department
- Manager of Business Services Department

Librarian Positions

Librarian positions should be redefined to consolidate meaningful professional tasks. There should be five classes of librarian positions at Columbia. The classes should include positions for which formal training as a librarian typically is a minimum requirement for competent performance. Other academic degrees should become increasingly common towards the upper levels of this group of positions where more sophisticated service to the academic community is involved. Classifying a position in this category involves the judgment that formal degree training or extensive practical experience is essential for the individual to perform his duties effectively with a minimum of supervision.

The recommended librarian positions include a hierarchy of career opportunities in professional areas of services, resources, and support as well as administration. Many of these positions are defined so that librarians will be less burdened by operating details and better able to focus precisely on professional tasks. Librarian positions should include the following:

- Chief Resource Librarian
- Library Instructor
- Instructional Program Coordinator
- Archivist
- Preservation Officer
- Current Awareness Consultant
- Resource Librarian (Subject)
- Bibliographer (Form)
- Chief Cataloger
- Head, Access Services Department
- Head, Instructional Materials and Services Department
- Supervising Librarian
- Staff Development Officer
- Staff Relations Officer
- Cataloger (Subject)
- Cataloger (Serials)
- Head, Library Research and Analysis Unit
- Access Librarian
- Systems Analyst

- Student Advisor
- Library Intern

Specialist Positions

A variety of specialist positions should be established and filled by trained personnel who may not be qualified as professional librarians. These positions encompass responsibilities and skills ranging between clerical activity and advanced professional pursuits. Assignment of specialist positions attempts to consolidate such responsibilities and remove them from positions traditionally filled by librarians. The specialist positions include the following:

- Catalog Specialist
- Head, Business Services Unit
- Language Specialist
- Subject Specialist
- Accountant
- Supervisor (Allied Library Service Unit)
- Supervisor (Support or Service Activity)
- Information Specialist
- Programmer
- Reading Room Attendant
- Circulation Specialist
- Binder
- Specialist Trainee
- Personnel Assistant

Clerical Positions

The plan for clerical and general assistance staff should remain as in present university and union arrangements. Recent efforts have been made to establish a clerical job classification, description, and salary administration system which will provide the framework for clerical staff in the future. Clerical positions are presently defined in the personnel manual and in union contracts to encompass nine grades.

Assigning Positions Among Organization Units

Implementing the proposed approaches to staffing will ultimately require a plan for defining positions based on precise work measurements for each unit in the recommended organization. An illustrative recommended plan of staffing based on present staffing levels and estimated future work loads is presented in the full report. While the plan

will require considerable redistribution of staff among new types of positions, with a decrease in the number of librarians and an increase in the number of specialists, it will not significantly alter the overall level of staffing.

Plan of Implementation

The recommended staffing plan will require at least one to two years to implement fully. The proposed redistribution of positions and types of positions will be difficult to accomplish because of the number of people involved. Such adjustment as is made will require time out of consideration for professional staff and for the selection and preparation of specialists. Effective redeployment will also necessitate careful orientation of staff throughout the system as well as thorough implementation planning in advance.

RECOMMENDED APPROACHES TO MANAGEMENT AND PROFESSIONAL ACTIVITIES

The success of Columbia's libraries depends on how well the library staff plans and executes programs as well as how effectively it formulates and uses policy and budgets. It will also depend on effective leadership and supervision. Staff performance will also be determined by how well library components work together and communicate.

Approaches to management and professional activities at Columbia's libraries are changing. Staff members are becoming better informed, regular staff meetings are being held, communication is generally improved, and attention is being given to defining the role of the professional in the system. New ways to maintain high performance despite budget cutbacks are also being sought. Nevertheless, additional improvements are needed to equip the libraries to respond to future needs and challenges.

High Priority for Human Resources

High priority needs to be given to the effective development and utilization of the libraries' human resources not only to offer quality service to users, but also to assure meaningful opportunities for staff career fulfillment. Personnel policies and practices should be designed

and carried out to provide a constructive work environment in terms of job content and working relationships. In addition, supervisory practices, means of communication, and other techniques should be improved to enhance staff potentialities.

Group Problem Solving

Columbia's libraries have complex operational and decision-making requirements which make it essential that the different skills and resources needed can be mobilized effectively to solve problems. Effective construction and use of technical and program advisory groups for problem solving will be critical.

Multiple Reporting Relationships

The recommended organization provides for integrity in the upward reporting relationships of staff in each of the major groups--Resources, Services, and Support. Some professional staff, however, will need to adjust to multiple reporting relationships. Multiple reporting relationships will give the libraries far more flexibility to meet changing staffing requirements. Staff time can be assigned more efficiently to conserve and apply critical professional skills efficiently as needed, sometimes crossing administrative or operating unit lines. This approach also has job enlargement benefits for many professional staff members whose specialized training and experience are now often wasted on nonprofessional activities.

High Performance Goals

Planning is essential for reaching rational decisions and judgments about present and future development whether in periods of growth or retrenchment. Effective planning will require meaningful performance goals to be established as a basis for evaluating alternatives and monitoring levels of achievement. Initially, performance measures for the university libraries can be classified in four categories: elapsed time, user satisfaction, cost effectiveness, and staff attitudes and development. Each operating unit should establish performance measures in each category for use in program evaluation and budget submission. The measures adopted should be reviewed periodically and improved as experience is gained and in light of changing needs of the university and the libraries. Several illustrative

applications of the performance principle are suggested in the complete report document.

Planning

The Vice President and University Librarian should establish active liaison with appropriate university officials for purposes of planning. The proposed Planning Office should develop and update meaningful plans consistent with changing university requirements. Systematic, action-oriented planning should be carried out, based on accurate information.

The planning function at Columbia's libraries should be comprehensive, systematic, and scheduled. It should be conducted at each level of the library system, and standardized planning formats should be integrated into a single comprehensive plan. The final plan should embody the efforts of appropriate individuals and units throughout the system. The Vice President and University Librarian and his top management team should suggest the overall priorities and objectives for library development and identify emerging trends and university requirements for the next five years or more. Individual subject centers and resource divisions should reflect these targets and trends in the specific plans they submit. Plans should be submitted annually for the next academic year and the next three to five years.

Policies

The complex nature of the libraries' organization, facilities, services, and user patterns makes it imperative that clear policies, carefully correlated with those of the university, be established and communicated effectively throughout the system. They should be comprehensive and well thought out, and reflect the deliberations of appropriate parties. Policies will be of great importance over the next few years as new organization and staffing patterns and complex working relationships are tested and modified.

Budgeting

The libraries should use budgets first to express plans in financial terms and then to control library expenditures during the budget period.

In the future, budgets should increasingly be used as tools for involving key library administrators in planning and determining library priorities. The use of program budgeting should also facilitate planning and performance evaluation.

Leadership and Supervision

Columbia's libraries should adopt approaches to leadership and supervision which are oriented to the achievement of objectives and high staff productivity. In particular, managerial and supervisory staff should improve management practices in such areas as delegating authority, maintaining clear reporting relationships, and engaging their staff constructively in planning and decision making. Executives and supervisors should also concern themselves actively with the career growth of their staff members.

Working Relationships and Communication

The recommended organization of Columbia's libraries should be used to make working relationships and communication effective at all levels. The Vice President and University Librarian and the heads of the five major units should work together as a "professional partnership," meeting at least once a week. Communication between the libraries and the university faculty should be fostered by the work of committees, task forces, and advisory groups as well as through direct day-to-day work.

Meetings should serve as an important system-wide forum for reviewing and discussing policy and program matters and should be conducted to encourage participation. Presentations on major developments should be made periodically by each major operating unit at the professional staff meeting so that ideas and information are shared. Meetings should have agenda to ensure that important topics are covered and that a record of the proceedings can be kept.

Committee and working group chairmen should be trained in committee procedures such as agenda preparation, rules of order, discussion moderating, and group dynamics. Guidance should also be available in manuals on communication techniques.

Staff Development

Columbia's libraries should adopt a formal staff development plan designed to help meet organization and staffing requirements and to assist staff members in achieving their career objectives. The plan should cover all categories of library staff (executive, librarian, specialist, and clerical) and all library units. It should define staffing requirements, outline career development approaches, and set forth managerial and supervisory responsibilities.

Individualized plans specifying development steps should be prepared for each member of Columbia's library staff. Each plan should be in accordance with overall library policies, and be prepared by the individual with his immediate supervisor.

Professional staff members should be evaluated by the Staff Development Committee. The Assistant University Librarian for Personnel should schedule and coordinate the activities of the committee and the roster of individuals to be reviewed. The committee should collect information on the full range of professional activities of the individual being reviewed and submit recommendations concerning eligibility for promoting steps that should be taken to further the individual's professional growth, and whether performance appears to warrant special salary consideration. The Vice President and University Librarian should rely to a great extent on these recommendations; however, he is the final authority in all salary or other actions.

This approach may be difficult for many staff to accept who have gone so many years without regular development reviews. Thus implementation may need to be phased to ease into the process gradually to gain acceptance of the concept. Consideration of salary matters may be a particularly sensitive matter and initially, perhaps, the focus of the committee review should be solely on professional development opportunities.

IMPLEMENTATION APPROACH

The last chapter of the report sets forth an approach for implementing the organization and staffing recommendations. The approach places great emphasis on the need for full disclosure and discussion of the proposals early in the process and for systematic planning and preparation. This chapter also identifies integrated steps that should be taken in sequence to set goals and achieve implementation within a specified time frame.